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**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)  
7024-427/PUR100

Applicant, Patentee, or Identifier: Riyi Shi et al.  
Application or Patent No.: 09/438,206  
Filed or Issued: November 12, 1999  
Title: METHODS AND COMPOSITIONS FOR TREATING MAMMALIAN SPINAL CORD INJURIES

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Purdue Research Foundation  
ADDRESS OF NONPROFIT ORGANIZATION Office of Technology Commercialization,  
1063 Hovde Hall, 3rd Floor, West Lafayette, IN 47907-1021

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).


Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Bruce L. Pershing  
TITLE IN ORGANIZATION OF PERSON SIGNING Secretary  
ADDRESS OF PERSON SIGNING Purdue Research Foundation, Office of  
Technology Commercialization, 1063 Hovde Hall,  
West Lafayette, IN 47907  
SIGNATURE Bruce L. Pershing DATE December 20, 1999

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION</b> <b>(37 CFR 1.63)</b>  <div style="display: flex; justify-content: space-around; align-items: flex-start;"> <div style="text-align: center;"> <input type="checkbox"/> Declaration Submitted With Initial Filing         </div> <div style="text-align: center;">OR</div> <div style="text-align: center;"> <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge 37 CFR 1.16 (e) required)         </div> </div>		Attorney Docket Number		7024-427/PUR-100	
		First Named Inventor		Riyi Shi et al.	
		<b>COMPLETE IF KNOWN</b>			
		Application Number		09/438,206	
		Filing Date		November 12, 1999	
		Group Art Unit			
		Examiner Name			



As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHODS AND COMPOSITIONS FOR TREATING MAMMALIAN SPINAL CORD INJURIES**

*(Title of the Invention)*

the specification of which

☐ is attached hereto
 OR
☒ was filed on (MM/DD/YYYY)
 

11/12/99

as United States

Application Number 

09/438,206

 and was amended on (MM/DD/YYYY)  (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim, as amended by any amendment specifically referred to above.

I acknowledge and hereby disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119 (a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Check Only If Priority Not Claimed	Certified Copy Attached?	
				YES	NO

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
60/108,145	November 12, 1998	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

Type a plus sign (+) inside this box →



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## DECLARATION – Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below, and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practioner(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

☐

Customer Number

OR

Place Customer  
Number Bar Code  
Label Here

☒

Registered practioner(s) name/registration number listed below.

Name	Registration Number	Name	Registration Number
Kenneth A. Gandy, Esq.	33,386		

☒ Additional registered practioner(s) named on supplemental Registered Practioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to : ☐ Customer Number Bar Code Label  OR ☒ Correspondence address below

Name	Kenneth A. Gandy, Esq.				
Address	WOODARD EMHARDT NAUGHTON MORIARTY & McNETT				
Address	111 Monument Circle, Suite 3700				
City	Indianapolis	State	IN	ZIP	46204
Country	United States	Telephone	317/ 634-3456		Fax 317/637-7561

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:  A petition has been filed for this unsigned inventor.

Given Name (first and middle [if any])				Family Name or Surname			
Riyi				Shi			
Inventor's Signature						Date	12/20/99
Residence: City	West Lafayette	State	IN	Country	U.S.A.	Citizenship	P.R.China
Post Office Address	20 Steuben Court						
Post Office Address							
City	West Lafayette	State	Indiana	ZIP	47906	Country	U.S.A.

☒ Additional inventors are being name on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



Please type a plus sign (+) inside this box → ☐

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PTO/SB/02A (3-97)  
Approved for use through 9/30/98. OMB 0651-0032  
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE


## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
Page 1 of 1

Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Richard B.				Borgens			
Inventor's Signature				Date	12-20-99		
Residence: City	Delphi	State	IN	Country	U.S.A.	Citizenship	U.S.A.
Post Office Address	R.R. #4, Box 161						
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City	Delphi	State	IN	ZIP	46923	Country	U.S.A.
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City		State		Country		Citizenship	
Post Office Address							
Post Office Address							
City		State		ZIP		Country	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Inventor's Signature				Date			
Residence: City		State		Country		Citizenship	
Post Office Address							
Post Office Address							
City		State		ZIP		Country	

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**DECLARATION****Registered Practitioner Information  
(Supplemental Sheet)**

<b>Name</b>	<b>Registration Number</b>	<b>Name</b>	<b>Registration Number</b>
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C. David Emhardt	18,483		
Joseph A. Naughton, Jr.	19,814		
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Steve Zlatos	30,123		
Spiro Bereveskos	30,821		
William F. Bahret	31,087		
Clifford W. Browning	32,201		
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Daniel J. Lueders	32,581		
Kenneth A. Gandy	33,386		
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Kerry P. Sisselman	37,237		
Kurt N. Jones	37,996		
John H. Allie	39,088		
Holiday W. Banta	40,311		
Troy J. Cole	35,102		
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J. Andrew Lowes	40,706		
Charles J. Meyer	41,996		
Darrin Wesley Harris	40,636		
Matthew R. Schantz	40,800		
Gregory B. Coy	40,967		
Lisa A. Hiday	40,036		
John V. Daniluck	40,581		
Christopher A. Brown	41,642		
C. John Brannon	P-44,557		
Jason J. Schwartz	43,910		
Arthur J. Usher IV	41,359		
Douglas A. Collier	43,556		
R. Craig Tucker	45,165		
Scott J. Stevens	29,446		
James B. Myers	42,021		